

JCT3 851 10, 00 Nov 2001

BOX PCT

IN THE UNITED STATES DESIGNATED/ELECTED OFFICE
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
UNDER THE PATENT COOPERATION TREATY - CHAPTER II

Handwritten notes: #10, 00, 9, 9, 8, 6, 0, 2

SUBMISSION OF DRAWINGS

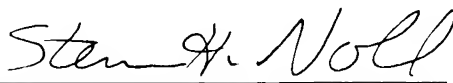
APPLICANT(S): ARNDT, et al.
ATTORNEY DOCKET NO: P01,0404
INTERNATIONAL APPLICATION NO: PCT/DE00/01508
INTERNATIONAL FILING DATE: 12 MAY 2000
INVENTION: LED ARRANGEMENT

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

Applicants herewith submit two drawing sheets, showing FIGURES 1, 1A, 2A, 2B, and 2C, in the captioned PCT application.

Respectfully submitted,


Steven H. Noll (Reg. No. 28,982)

SCHIFF HARDIN & WAITE
Patent Department
6600 Sears Tower
233 South Wacker Drive
Chicago, IL 60606
Telephone: (312) 258-5790
Attorneys for Applicant(s)

Customer Number: 26574

Rec'd PCT/PTO 16 MAR 2002 #5
 10/009656 C. F. R.

U.S. APPLICATION NO. (if known) see 37 C.F.R. 1.5; 10/009,656		INTERNATIONAL APPLICATION NO. PCT/DE00/01508		ATTORNEY'S DOCKET NUMBER P01,0404	
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17. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5): Search Report has been prepared by the EPO or JPO \$890.00 International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) \$710.00 No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but international search fee paid to USPTO (37 C.F.R. 1.445(a)(2)) \$740.00 Neither international preliminary examination fee (37 C.F.R. 1.482) nor international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO \$1040.00 International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) \$ 100.00 <div style="text-align: right;">ENTER APPROPRIATE BASIC FEE AMOUNT =</div>				CALCULATIONS		PTO USE ONLY	

Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e))				\$ 130.00			
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Claims	Number Filed	Number Extra	Rate				
Total Claims	17 - 20 =	0	X \$ 18.00	\$			
Independent Claims	01 - 3 =	0	X \$ 84.00	\$			
Multiple Dependent Claims			\$280.00 +	\$			
TOTAL OF ABOVE CALCULATIONS =				\$			
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed (Note 37 C.F.R. 1.9, 1.27, 1.28)				\$			
SUBTOTAL =				\$ 130.00			
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). +				\$			
TOTAL NATIONAL FEE =				\$			
Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property +							
TOTAL FEES ENCLOSED =				\$ 130.00			

03/29/2002 MALI11 00000040 10009656 01 FC:154 130.00 DP		Amount to be refunded	\$
		charged	\$

a. ☒ A check in the amount of \$130.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **50-1519**. **A duplicate copy of this sheet is enclosed.**

NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

SCHIFF HARDIN & WAITE
PATENT DEPARTMENT
6600 Sears Tower
233 South Wacker Drive
Chicago, Illinois 60606-6473

 Signature **Mark Bergner** Attorney for Applicants

Registration No. 45,877

Dated: March 26, 2002

CUSTOMER NUMBER 26574

#5
C.B. +

10/000656

FORM PTO-1390 US DEPARTMENT OF COMMERCE REV. 5-93PATENT AND TRADEMARK OFFICE		ATTORNEYS DOCKET NUMBER P01,0404
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/009,656
INTERNATIONAL APPLICATION NO. PCT/DE00/01508	INTERNATIONAL FILING DATE 12 MAY 2000	PRIORITY DATE CLAIMED 12 MAY 1999
TITLE OF INVENTION LED ARRANGEMENT		
APPLICANT(S) FOR DO/EO/US Karlheinz ARNDT, et al.		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: 1. <input type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay. 4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date. 5. <input type="checkbox"/> A copy of International Application as filed (35 U.S.C. 371(c)(2)). a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> has been transmitted by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US) 6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3)) a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> have been transmitted by the International Bureau. c. <input checked="" type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). Items 11. to 16. below concern other document(s) or information included: 11. <input type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; (PTO 1449, Prior Art, Search Report, References). 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included. (SEE ATTACHED ENVELOPE) 13. <input type="checkbox"/> Preliminary Amendment <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 14. <input type="checkbox"/> A substitute specification and substitute specification mark-up. 15. <input type="checkbox"/> A change of address letter attached to the Declaration. 16. <input checked="" type="checkbox"/> Other items or information: a. <input checked="" type="checkbox"/> Copy of Notification of Missing Requirements (2 sheets) b. <input checked="" type="checkbox"/> EXPRESS MAIL #EL 843746131 US dated March 26, 2002		

FORM PTO-1390 US DEPARTMENT OF COMMERCE
REV. 5-93 PATENT AND TRADEMARK OFFICE

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

ATTORNEYS DOCKET NUMBER

P01,0404

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

10/009,656

INTERNATIONAL APPLICATION NO.

PCT/DE00/01508

INTERNATIONAL FILING DATE

12 MAY 2000

PRIORITY DATE CLAIMED

12 MAY 1999

TITLE OF INVENTION

LED ARRANGEMENT

APPLICANT(S) FOR DO/EO/US

Karlheinz ARNDT, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay.
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; **(PTO 1449, Prior Art, Search Report, References)**.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
(SEE ATTACHED ENVELOPE)
13. ☐ Preliminary Amendment
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification and substitute specification mark-up.
15. ☐ A change of address letter attached to the Declaration.
16. ☒ Other items or information:
 - a. ☒ Copy of Notification of Missing Requirements (2 sheets)
 - b. ☒ EXPRESS MAIL #EL 843746131 US dated March 26, 2002



UNITED STATES PATENT AND TRADEMARK OFFICE

 Commissioner for Patents, Box 40
 United States Patent and Trademark Office
 Washington, D.C. 20503
 www.uspto.gov

U.S. APPLICATION NUMBER NO	FIRST NAMED APPLICANT	ATTY DOCKET NO
10/009,656	Arndt Karlheinz	P01,0404

RECEIVED

FEB 26 2002

HEWM LLP - P.A.

 26574
 SCHIFF HARDIN & WAITE
 6600 SEARS TOWER
 233 S WACKER DR
 CHICAGO, IL 60606-6473

INTERNATIONAL APPLICATION NO

PCT/DE00/01508

IA FILING DATE

05/12/2000

PRIORITY DATE

05/12/1999

CONFIRMATION NO. 8441**371 FORMALITIES LETTER**

OC000000007459401

Date Mailed: 02/12/2002

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Priority Document
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- English Translation of the IA
- Information Disclosure Statements
- Oath or Declaration
- Preliminary Amendments
- Request for Immediate Examination
- Substitute Specification

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
 - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
- \$130 Surcharge for providing the oath or declaration later than the appropriate 30 months months from the priority date (37 CFR 1.492(e)) is required.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE

OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$130** for a Large Entity:

- **\$130** Late oath or declaration Surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

CHARITTA A BURT

Telephone: (703) 305-3734

PART 1 - ATTORNEY/APPLICANT COPY

U S APPLICATION NUMBER NO	INTERNATIONAL APPLICATION NO	ATTY DOCKET NO
10/009,656	PCT/DE00/01508	P01,0404

CERTIFICATE OF MAILING BY EXPRESS MAIL

Express Mail Mailing Label Number EL 843746131 US

Date of Deposit: March 26, 2002

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR 1.10(c) on the date indicated above and is addressed to:

**BOX PCT
Assistant Commissioner for Patents
Washington DC 20231**

Case Number: **P01,0404**
Applicant(s): **Karlheinz Arndt, et al.**

International Application No. PCT/DE00/01508
International Filing Date 12 May 2000
Priority Date Claimed 12 May 1999

Title: LED ARRANGEMENT

U.S. SERIAL NO. 10/009,656

Enclosed are the following documents:

EXECUTED Declaration;
Copy of Notice to File Missing Requirements;

PTO 1390 in duplicate;

Fee: \$130.00
Postcard.

**Executed Assignment attached in separate envelope;
Form PTO 1595, Fee: \$40.00**



Signature of person mailing documents and fees